

YOUTH SERVICES POLICY

Title: Performance Planning and Review Next Annual Review Date: 07/13/2010	Type: A. Administrative Sub Type: 2. Personnel Number: A.2.45
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References: ACA Standards 2-CO-1C-01 (Administration of Correctional Agencies); YS Policies A.2.1 "Employee Manual" and A.2.23 "Position Descriptions"; Civil Service Rules Chapter 10; the Civil Service Human Resources Handbook; and Civil Service General Circular No. 1773	
STATUS: Approved	
Approved By: Mary L. Livers, Deputy Secretary	Date of Approval: 07/13/2009

I. **AUTHORITY:**

Deputy Secretary of Youth Services as contained in La. R.S. 36:405.

II. **PURPOSE:**

To establish a formal procedure for evaluating employee job performance and to ensure compliance with the Louisiana Department of State Civil Service Performance Planning and Review System (PPR).

III. **APPLICABILITY:**

This policy shall be applicable to all classified employees of Youth Services (YS) and unclassified employees who supervise classified employees. Each Unit Head shall ensure that necessary procedures are in place to comply with the provisions of this policy.

IV. **DEFINITIONS:**

Change in Position - for the purpose of the performance appraisal rating system, "change in position" means either a voluntary demotion or the assignment of an employee to another position in the same or a different job with significantly different duties from those of the position he previously held, or the movement of an employee to another position in another agency.

Discipline - includes only suspension without pay, reduction in pay, involuntary demotion, and dismissal.

Efficiency Rating - the official overall rating assigned to an employee in accordance with Chapter 10 of Civil Service rules.

Merit Increase - an adjustment to individual pay rate based on performance, or some other individual equity basis. Unless extraordinary circumstances occur, merit increases are 4% of the employee's pay rate, not to exceed the maximum pay range established by Civil Service for the employee's job title.

New Employee - only for purposes of the performance planning and review system, means any employee who receives a new anniversary date upon entering or reentering the classified service.

Original Appointment - the initial appointment of a person to a classified position by provisional, probationary or job appointment.

Performance Appraisal Rating - the overall rating of an employee, made in accordance with the performance appraisal system established by Civil Service Rules.

Performance Expectations - information which clearly communicates to the employee what conditions or results constitute satisfactory work performance.

Performance Factors - the functions, characteristics and behaviors upon which performance will be rated.

Performance Planning Session - the official, annual event during which the rating supervisor shall discuss with the employee the factors upon which he/she will be rated and the performance that will be expected during the coming rating period.

Performance Rating - the official, overall rating of the performance of an employee for a specific period of time.

Performance Standard - a statement or description of observable conditions that define the levels of performance for each major task or duty area.

Progress Review - a scheduled meeting between an employee and his supervisor in which they discuss the employee's accomplishments and possible problems in the area of performance (e.g., performance standards), and in which performance criteria is reviewed and revised if necessary.

Rating Supervisor - the person who, in the Appointing authority's judgment is in the best position to observe and document an employee's performance. The immediate supervisor shall be the Rating Supervisor unless otherwise designated by the appointing authority.

Unacceptable Rating - a performance appraisal rating of either "Needs Improvement" or "Unsatisfactory".

Unit Head - Deputy Secretary, Undersecretary, Assistant Secretary, Deputy Assistant Secretaries, Facility Directors, and Regional Managers.

V. POLICY:

It is the Deputy Secretary's policy to utilize a performance planning and review system that complies with Civil Service Rule 10 and which consists of the following components:

- A. A performance planning and review form approved by the Civil Service Director;
- B. A five level rating system; and
- C. A performance planning and review training manual that is reasonably accessible to Rating Supervisors.

VI. GENERAL PROCEDURES:

- A. All classified employees shall participate in a planning session and a rating session at least once annually.
- B. Rating Supervisor:
 - 1. The appointing authority shall designate a Rating Supervisor for each employee. Failure to designate a Rating Supervisor shall be a violation of Civil Service Rules (see Rule No. 10.11.1).
 - 2. Each Rating Supervisor shall attend a PPR training class.
- C. Performance Factor to be Rated:
 - 1. Each employee shall be rated on the following performance factors (or their equivalents): Work Product, Dependability, Adaptability, Cooperativeness, Communication, and Daily Decision Making / Problem Solving.

2. Additionally, each supervisory employee shall be rated on the following performance factors (or their equivalents): Work Group Management and Leadership, and Performance Planning and Review.
3. An employee may be rated on any additional performance factor(s) that the Appointing Authority and/or the Rating Supervisor considers applicable to the employee's job.

D. Ratings:

1. Each employee shall be rated on each applicable performance factor, using the following ratings (or their equivalents) and points:

Outstanding	5 points
Exceeds Requirements.....	4 points
Meets Requirements.....	3 points
Needs Improvement.....	2 points
Poor.....	1 point

2. The performance factor ratings shall then be averaged and the employee's overall rating or re-rating shall be assigned based upon the following scale:

Outstanding	4.50 - 5.00
Exceeds Requirements.....	3.50 - 4.49
Meets Requirements.....	2.50 - 3.49
Needs Improvement.....	1.50 - 2.49
Poor.....	1.00 - 1.49

3. Ratings of "Un-rated" shall be created by default when the employee does not receive an official rating. Ratings of "Un-rated" shall be indicated on the final overall rating or re-rating form by the Rating Supervisor, Reviewer, or Human Resources Officer. Employees shall be notified when a rating or re-rating of "Un-rated" has been given as an official overall rating or re-rating. Ratings of "Un-rated" shall be reported on the annual report to the Director of Civil Service in such manner as the Director requires.

Failure of the Rating Supervisor to administer the performance management system in accordance with Civil Service Rules shall result in his (the Rating Supervisor) not being eligible for a merit increase for that year. However; an appointing authority may grant a merit increase for a

Rating Supervisor who fails to rate an employee if, and only if, one of the following circumstances applies:

1. The employee was absent for an extended period of time (usually more than 9 months) during the rating period which effectively makes it impossible to evaluate his performance.
2. The employee has transferred into the Department from another state Department within 90 days of the anniversary or rating date.

VII. PERFORMANCE PLANNING SESSION:

- A. The Rating Supervisor shall conduct a performance planning session at least once per rating period, during which the Rating Supervisor shall discuss with the employee:
 1. The factors upon which the employee shall be rated, and
 2. The performance that shall be expected during the coming rating period.
- B. The Rating Supervisor shall provide written expectations for all factors upon which the employee shall be rated.
- C. The Rating Supervisor and the employee shall sign and date the performance planning form to document the session. The employee shall be given a copy of the planning document.
- D. A performance planning session shall be conducted no later than 30 calendar days after:
 1. The appointment of a new employee; or
 2. The anniversary date of a current employee; or
 3. The movement of an employee into a position having a different position number and significantly different duties.
- E. A Performance Planning Session may be held regarding the next rating period simultaneously with the rating session; however, the Performance Planning Session shall be held no later than 30 calendar days from the employee's anniversary date. The supervisor and employee shall set goals and objectives for the next rating period during the Performance Planning Session.

- F. A performance planning session may be conducted when an employee gets a new Rating Supervisor or when performance expectations change.
- G. Additional performance planning sessions may also be conducted as the Rating Supervisor deems appropriate.
- H. When an employee is not available for the rating session, the unit's Human Resources Office shall mail a completed copy of the PPR document to the employee on or before the employee's anniversary date.

VIII. RATING SESSION:

A. Creating the Rating:

To create an official rating, the Rating Supervisor shall:

- 1. Sign and date the completed document,
- 2. Provide documentation to support any factor rated "Needs Improvement" or "Poor;"
- 3. Present the form to the employee to be signed and dated; and
- 4. Make a copy of the completed form for the employee with his or her official overall rating noted.

B. Ratings Time Frames:

- 1. For a new employee, the rating session shall take place within the 60 calendar days before or on the employee's first anniversary date as defined in Civil Service Rule 6.14(b).
- 2. For a current employee, the rating session shall take place within the 60 calendar days before or on the employee's anniversary date.
- 3. When an employee is not available, the provisions of Civil Service Rule 10.6(d) shall be satisfied by mailing the completed document to the employee on or before the employee's anniversary date.

C. Rating Session with Employee:

- 1. The Rating Supervisor identifies employee proficiencies and recognizes and informs the employee regarding all areas of performance.

2. The Rating Supervisor identifies deficiencies in a constructive manner, and assists employee in areas that need improvement. The Rating Supervisor shall provide documentation to support any factor rated "Needs Improvement" or "Poor;"
3. Once the performance documentation is reviewed and discussed, the rating form is signed by the employee and rating supervisor.
4. The Rating Supervisor shall provide the employee with a copy of the annual PPR rating.
5. The employee shall be given the opportunity to examine the evaluation and make written comments about any aspect of it.
6. Employees may receive unofficial reviews as the supervisor deems necessary to provide feedback and update expectations.

D. Employee's Refusal to Sign a Rating or Re-rating:

1. An employee cannot prevent a planning session, rating or re-rating from becoming official by refusing to sign the performance planning and review form.
2. If an employee refuses to sign any part of the form, the Rating Supervisor shall note on the form that the employee refused to sign, and the date of the Planning or Rating session.

E. Effects of Absence of Official Rating or Re-rating (Un-rated):

The absence of an official rating or re-rated rating should occur only under the following circumstances:

1. By default when a Rating Supervisor does not rate or re-rate an employee in accordance with the requirements of the Civil Service Rules regarding PPR;
2. Whenever an employee has been absent for an extended period of time (usually more than 9 months) during the rating period which effectively makes it impossible to evaluate his performance.
3. An employee who is not rated in accordance with the provisions of this policy and Civil Service Rule 10.11 shall have an official rating of "Un-rated" on the day after the employee's anniversary date.

4. An employee who is not re-rated in accordance with the provisions of this policy and Civil Service Rule 10.11 shall have an official re-rating of "Un-rated" on the date that falls 6 months after the employee's anniversary date.

IX. EFFECTS OF "NEEDS IMPROVEMENT" OR "POOR" ON PERFORMANCE FACTOR(S) AND OVERALL RATINGS:

- A. A rating or re-rating of "Needs Improvement" or "Poor" is not a disciplinary action. An employee whose official overall rating or re-rating is "Needs Improvement" or "Poor" may be separated or disciplined in accordance with the rules applicable to the employee's status.
- B. An overall rating of "Needs Improvement" or "Poor" will cause an employee to be ineligible for some types of employment actions, such as merit increase, promotion, gaining permanent status or upward detail to special duty.
- C. An employee whose overall rating is "Needs Improvement" or "Poor" shall be re-rated no later than six months after the employee's anniversary date.
- D. A "Poor" rating on any one performance factor or "Needs Improvement" on any two performance factors will result in the employee being ineligible for a merit increase regardless of the numerical score of the overall rating. Re-rating shall occur no later than six (6) months following their anniversary date.
- E. Employees who are re-rated as "Meets Requirements" or better may be considered for a merit increase, promotion, upward detail or permanent status as of the date of the official re-rating.
- F. An employee may receive unofficial reviews as the supervisor deems necessary to provide feedback and update expectations.

X. CREATING an OFFICIAL RATING or RE-RATING:

A rating or re-rating that complies with Rules 10.6 and 10.7 becomes official when a copy of the performance planning and review form is given or mailed to the employee.

- A. Review of Ratings by Reviewer:

Designated Reviewer:

1. A permanent employee who disagrees with any official rating or re-rating has a right to have the rating reviewed by the Appointing Authority or his/her designee.
2. The designated Reviewer is the only person within the employing agency who may change an official rating.
3. The designated Reviewer shall not be the Rating Supervisor who conducted the rating.

B. Written Request for Review:

1. A written request for review [Attachment A.2.45 (a)] must be postmarked or received in the employing agency's Human Resources Office no later than 15 calendar days after the employee's anniversary date. In the request for review, the employee must explain why he/she believes a higher rating is warranted and must attach whatever supporting documentation he or she wants the Reviewer to consider.
2. For a re-rating, a written request for review must be postmarked or received in the employing agency's Human Resource office no later than 15 calendar days after the day that falls six months after the employee's anniversary date.
3. If the request for review is timely, the Reviewer shall review the rating, the request for review, and any documentation supporting either.
4. The Reviewer shall also discuss the contested rating(s) with the employee and the Rating Supervisor.
5. The Reviewer shall notify the employee and the Rating Supervisor, in writing, of the results of the review. This notification shall be provided within 30 calendar days following the date the request for review was received in the Human Resources Office.
6. Any change in rating shall be retroactive to the anniversary date or in the case of a contested re-rating, on the day that falls six months after the employee's anniversary date.
7. The initial PPR form, the request for review, the Reviewer's response, and all supporting documentation shall be maintained in the employee's PPR file.

XI. APPEALS TO THE DIRECTOR OF CIVIL SERVICE:

- A. A permanent employee who disagrees with the Reviewer's decision has a right to have his/her PPR file reviewed by the Director of Civil Service or the Director's designee.
- B. An appeal under this Rule must be postmarked or received by the Director of Civil Service within 30 calendar days following the date the employee received a copy of the Reviewer's decision. In the appeal, the employee must explain why there was no basis for the contested rating.
- C. If the appeal is timely, the Director of Civil Service or his/her designee shall obtain and review the employee's PPR file. When the Director or his/her designee finds that the agency violated any rule in this Chapter or that there was no documented, rational basis for a rating, the Director may order any contested rating changed as he deems appropriate. Insofar as practicable, the Director shall provide a written decision to the employee, the Rating Supervisor, and the Reviewer within 30 calendar days following the date the appeal was filed.

XII. DOCUMENTATION:

- A. A performance documentation file shall be maintained in a secure location and in an orderly manner by the supervisor for each employee supervised.
- B. The file shall contain the job description, Performance Planning Session documentation, performance/periodic review documentation, supervisory comments and the PPR form.
- C. The PPR form shall include sufficient information to validate and justify the overall rating, as well as any factor rated "Needs Improvement" or "Poor."
- D. The performance documentation file shall be confidential and may only be released to appropriate supervisory personnel or to the employee.
- E. The performance documentation file is to follow the employee from supervisor to supervisor.

XIII. RECORD KEEPING AND REPORTING REQUIREMENTS:

- A. A copy of the current PPR form shall be kept in the unit's Human Resources Office in a secure location not accessible to the public. Completed forms shall be made available as follows:
 - 1. As determined by the appointing authority for retrieval for authorized individuals.

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2. To the Department of Civil Service for auditing purposes.
 3. To other agencies of the State.
 4. To the employee upon request.
 5. For each employee with an official overall rating or re-rating of "Needs Improvement" or "Poor" the Central Office Human resources Office shall promptly provide a copy of page one of the performance planning and review form to the Director of Civil Service.
- B. The unit's Human Resources Office shall promptly provide a copy of Page One of the PPR form to the Central Office Human Resources Office for each employee with an official overall rating or re-rating of "Needs Improvement" or "Poor." The Central Office Human Resources Office shall forward a letter and a copy of the PPR form to the Director of Civil Service.
- C. Each July 31st the Central Office Human Resources Office shall prepare a report to the Director of Civil Service concerning ratings at each of the units during the previous year ending June 30th.
- D. Information derived from the performance appraisal may be considered when making decisions affecting training, pay, promotion, transfer or continued employment.


XIV. EXCEPTIONS:

- A. In the event that budgetary constraints prevent implementation of merit increases, performance appraisals shall continue to be required.
- B. The YS grievance process shall not be used to review or reconsider ratings or a procedural violation of this policy.

Previous Regulation/Policy Number: A.2.45
Previous Effective Date: 4/1/09

Attachments/References:

 pprformstandard 10-09.doc

 A.2.45 (a) Request for Review of Rating.doc


PPR Training Manual July 2009.doc